

# Tailor-Made Training for Reg BI Compliance

## QUICKLY READY YOUR FIRM TO MEET THE COMPLIANCE OBLIGATION

- Learn all your obligations under the SEC's Regulation Best Interest standard of care
- Recognize the decision points that guide firm-specific compliance
- Educate advisors on how Reg BI applies to compensation, disclosures and investment recommendations
- Implement a firm-wide compliant, sustainable and repeatable standard of care

## GET YOUR TEAM UP TO SPEED

When Regulation Best Interest (Reg BI) takes effect on June 30, 2020, firms must be ready. Timing is tight for establishing policies and procedures. Plus, from home office to front office, firm personnel must be prepared to comply. Broadridge can help.

## MASTER YOUR REG BI ESSENTIALS

Fi360, a Broadridge company, offers Reg BI Essentials, a customizable training curriculum tailored to each firm's approach to Reg BI compliance. Two options—one for home office and one for advisors—focus on practical application. Choose the training that will help your team understand, apply and reliably comply with this new standard of care.

**Home Office Training.** This option educates home office personnel on the ins and outs of Reg BI and all it entails. Firms benefit from Broadridge and Fi360's unique vantage, gaining guidance and industry insight that informs how they opt to comply.

**Advisor/Field Training.** This option educates field representatives and advisors on Reg BI, Form CRS and the new standard of care obligations. Learning is customized to ensure front-line personnel understand the firm's policies and procedures, and how they must act to comply.

## BE CONFIDENT, COMPLIANT AND COST EFFICIENT

- Inform your compliance strategy with robust industry insight.
- Leverage Broadridge regulatory know-how and Fi360 training expertise.
- Build out a compliance plan that aligns with firm needs.
- Eliminate the time and expense of designing and training in house.
- Complete training within Reg BI required time frame.
- Instill confidence in compliance firmwide.

### REG BI OBLIGATIONS

Form CRS

Duty  
of Care

Compliance

Conflict  
of Interest

Disclosure



# Reg BI Essentials: Expert guidance to comply with confidence

Gain the learning you need to adapt and succeed as the regulatory and marketplace environments evolve. This Fi360 certificate training solution will guide your team through the requirements set forth by Reg BI, helping you devise and implement a right-fit strategy for your firm's needs.

## COMPREHENSIVE CURRICULUM FOR COMPLIANCE

With course content developed by veteran industry experts Blaine Aikin and Fred Reish, your firm can take advantage of over 50 years of combined regulatory knowledge. The Reg BI Essentials features a five-part curriculum that delves into Reg BI, Form CRS and the obligations set forth by the new standard of care.

### REG BI ESSENTIALS CURRICULUM COMPONENTS

- Introduction
- Form CRS
- Regulation Best Interest
- SEC Broker-Dealer Interpretation: Solely Incidental Advice Exclusion
- Investment Advisor Interpretation: Fiduciary Duties

## TWO EASY WAYS TO DEPLOY

Reg BI Essentials eLearning can be used through the Fi360 Learning Management System (LMS), enabling firms to enroll learners and track their track progress. Or, Reg BI Essentials can be packaged in a Shareable Content Object Reference Model (SCORM) file for license and use on firms' own LMS systems.

Broadridge, a global Fintech leader with over \$4 billion in revenues and part of the S&P 500® Index, provides communications, technology, data and analytics. We help drive business transformation for our clients with solutions for enriching client engagement, navigating risk, optimizing efficiency and generating revenue growth.

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## TRUST IN Fi360

For more than 20 years, Fi360, a Broadridge company, has been the premier provider of fiduciary education and training. With more than 30,000 certificate students trained, you can be confident we will help your firm and advisors thoroughly prepare for Reg BI compliance—and profitably gather, grow and protect investor assets.

## TO LEARN MORE

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